

PATENTS

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**COPY**

In re Application of:

Peter A.J. van der Made

Serial No.: 09/642,625

Art Unit: 2122

Filed: August 18, 2000

For: Computer Immune System and Method  
for Detecting Unwanted Code in a  
Computer System

**INFORMATION DISCLOSURE STATEMENT**

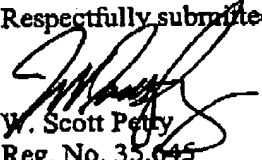
Commissioner of Patents  
Washington, DC 20231

Sir:

The citation of information on the attached Form PTO-1449, "List of Art Cited by Applicant" is made pursuant to 37 C.F.R. §§ 1.56, 1.97, and 1.98. A copy of each cited item is enclosed.

The citation of this information does not constitute an admission of priority or that any cited item is available as a reference, or a waiver of any right the applicant may have under applicable statutes, Rules of Practice in patent cases, or otherwise.

Respectfully submitted,

  
W. Scott Petty  
Reg. No. 35,645

King & Spalding LLP  
45<sup>th</sup> Floor, 191 Peachtree Street, N.E.  
Atlanta, GA 30303  
404.572.4600  
K&S Docket: 05456.105041

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I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner of Patents, Washington, D.C. 20231, on February 7, 2003.

  
W. Scott Petty / Reg. No. 35,645

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Sheet 1 of 3

FORM PTO-1449, Adapted

# LIST OF INFORMATION DISCLOSED BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO. 05456.105041	SERIAL NO. 09/642,625	FILING DATE August 18, 2000
APPLICANT Peter A.J. van der Made		GROUP 2122

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,590,331	12/31/96	Lewis et al.			
	AB	6,021,510	02/01/00	Nachenberg			
	AC	6,003,132	12/14/99	Mann			
	AD	5,999,723	12/07/99	Nachenberg			
	AE	5,964,889	10/12/99	Nachenberg			
	AF	5,765,030	06/09/98	Nachenberg et al.			
	AG	5,826,013	10/20/98	Nachenberg			
	AH	6,199,181	03/06/01	Rechef et al.			
	AI	5,121,345	06/09/92	Lentz			
	AJ	5,623,600	04/22/97	Ji et al.			
	AK	5,649,095	07/15/97	Cozza			

**FOREIGN PATENT DOCUMENTS**

	DOCUMENT NUMBER	DATE	COUNTRY	NAME	TRANSLATION YES NO.
AL	0 636 977 A2	02/01/95	Europe	David Alan Chambers	
AM					
AN					
AO					

**COPY****OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)**

AP	"Microsoft P-Code Technology," <a href="http://msdn.microsoft.com/archive/default.asp?url=/archive/en-us/dnarvc/html/msdn_c7pcode2.asp">http://msdn.microsoft.com/archive/default.asp?url=/archive/en-us/dnarvc/html/msdn_c7pcode2.asp</a> , pp. 1-6, April 1992.
AR	"DJGPP COFF Spec," <a href="http://delorie.com/djgpp/doc/coff/">http://delorie.com/djgpp/doc/coff/</a> , pp. 1-15, October 1996
AS	Natvig, Kurt, "Sandbox Technology Inside AV Scanners," Virus Bulletin Conference, September 2001, pp. 475-488.
AT	"Norman introduces a new technique for eliminating new computer viruses," found on Norman's website, <a href="file:///C:/Documents%20and%20Settings/7489/Local%20Settings/Temporary%20Internet%20Files/OLK">file:///C:/Documents%20and%20Settings/7489/Local%20Settings/Temporary%20Internet%20Files/OLK</a> , pp. 1-2, published October 25, 2001, printed from website December 27, 2002.

EXAMINER DATE CONSIDERED

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Sheet 2 of 3

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**LIST OF INFORMATION DISCLOSED BY APPLICANT**

(Use several sheets if necessary)

ATTY. DOCKET NO.		SERIAL NO.		FILING DATE			
05456.105041		09/642,625		August 18, 2000			
APPLICANT				GROUP			
Peter A.J. van der Made				2122			
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	BA	5,978,917	11/02/99	Chi			
	BB	5,983,348	11/09/99	Ji			
	BC	6,029,256	02/22/00	Kouznetsov			
	BD	6,081,894	06/27/00	Mann			
	BE	6,094,731	07/25/00	Waldin et al.			
	BF	6,108,799	08/22/00	Boulay et al.			
	BG	6,119,165	09/12/00	Li et al.			
	BH	6,122,738	09/19/00	Millard			
	BI	6,272,641	08/07/01	Ji			
	BJ	6,324,627	11/27/01	Kricheff et al.			
	BK	6,338,141	01/08/02	Wells			
<b>FOREIGN PATENT DOCUMENTS</b>							
		DOCUMENT NUMBER	DATE	COUNTRY	NAME	TRANSLATION YES NO	
	BL						
	BM						
	BN						
	BO						
<b>OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)</b>							
	BP	Lee et al., "A Generic Virus Detection Agent on the Internet," System Sciences, 1997, Proceedings of the Thirtieth Hawaii International Conference on Wailea, HI, January 7-10, 1997, pp. 210-219, #XP010271868.					
	BR	International Search Report for PCT/US01/19142, international filing date June 14, 2001, mailing date January 17, 2003.					
	BS						
	BT						
EXAMINER DATE CONSIDERED							

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FORM PTO-1449, Adapted

# LIST OF INFORMATION DISCLOSED BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO. 05456.10504i	SERIAL NO. 09/642,625	FILING DATE August 18, 2000	<b>COPY</b>
APPLICANT Peter A.J. van der Made		GROUP 2122	

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	CA	6,397,242	05/28/02	Devine et al.			
	CB	4,975,950	12/04/90	Lentz			
	CC						
	CD						
	CE						
	CF						
	CG						
	CH						
	CI						
	CJ						
	CK						

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	NAME	TRANSLATION	
						YES	NO
	CL						
	CM						
	CN						
	CO						

## OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

	CP	
	CR	
	CS	
	CT	

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FORM PTO-1449

**INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION***(Use several sheets if necessary)*Docket Number (Optional)  
81924.0001Application Number  
09/642,625Applicant  
Peter A.J. van der MadeFiling Date  
August 18, 2000Group Art Unit  
2122**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5,854,916	12-29-98	Nachenberg			
	6,067,410	05-23-00	Nachenberg			

**FOREIGN PATENT DOCUMENTS**

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO
	International Search Report for PCT/US01/26804	03-06-02	PCT				

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

Andrew P. Kosoresow, et al., "Intrusion Detection Via System Call Traces," IEEE Software, pp. 35-42, September/October 1997.

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<b>FORM PTO-1449</b>  <b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  <i>(Use several sheets if necessary)</i>	<b>Docket Number (Optional)</b> 81924.0001	<b>Application Number</b> 09/642,625
	<b>Applicant</b> Peter A.J. van der Made	
	<b>Filing Date</b> August 18, 2000	<b>Group Art Unit</b> 2122

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5,398,196	03-14-95	Chambers			
	5,842,002	11-24-98	Schnurer, et al.			
	6,275,938	08-14-01	Bond, et al.			
	6,357,008	3-12-02	Nachenberg			

**FOREIGN PATENT DOCUMENTS**

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**


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<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
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<b>FORM PTO-1449</b>  <b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  <i>(Use several sheets if necessary)</i>	<b>Docket Number (Optional)</b> 81924.0001	<b>Application Number</b> 09/642,625
	<b>Applicant</b> Peter A.J. van der Made	
	<b>Filing Date</b> August 18, 2000	<b>Group Art Unit</b> 2122

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

**FOREIGN PATENT DOCUMENTS**

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
					YES	NO

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

	Carey Stover Nachenberg, "A New Technique for Detecting Polymorphic Computer Viruses," A thesis submitted in partial satisfaction of the requirements for the degree Master of Science in Computer Science, University of California Los Angeles, pp. I-127, 1995.

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<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
<b>EXAMINER:</b> Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.	

FORM PTO-1449

**COPY****INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION***(Use several sheets if necessary)*Docket Number (Optional)  
81924.0001Application Number  
09/642,625Applicant  
Peter A.J. van der MadeFiling Date  
August 18, 2000Group Art Unit  
2122**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	4,400,769	08-23-83	Kaneda, et al.			
	5,440,723	08-08-95	Arnold, et al.			
	5,774,727	08-30-98	Walsh, et al.			
	5,872,978	02-16-99	Hoskins			
	6,092,194	07-18-00	Touboul			
	6,118,940	09-12-00	Alexander, III, et al.			
	6,154,844	11-28-00	Touboul, et al.			
	6,167,520	12-28-00	Touboul			

**FOREIGN PATENT DOCUMENTS**

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
					YES	NO
WO 99/15966	04-01-99	PCT				

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**Frans Veldman, "Heuristic Anti-Virus Technology," Proceedings, 3<sup>rd</sup> International Virus Bulletin Conference, pp. 67-76, September 1993.

Symantec, "Understanding Heuristics: Symantec's Bloodhound Technology, Symantec White Paper Series, Vol. XXXIV, pp. 1-14, September 1997.

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PATENT  
81924.0001

Express Mail Label No.: EJ194573541US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Peter A.J. van der Made

Serial No: Not Assigned

Filed: Herewith

For: COMPUTER IMMUNE SYSTEM  
AND METHOD FOR DETECTING  
UNWANTED CODE IN A  
COMPUTER SYSTEM

Art Unit: Not Assigned

Examiner: Not Assigned

**TRANSMITTAL OF INFORMATION DISCLOSURE  
STATEMENT**

BOX PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

The information disclosure statement submitted herewith is being filed concurrently with the subject application [37 C.F.R. § 1.97(b)] and contains no items of information cited in any communication from a foreign patent office in a counterpart foreign application [37 C.F.R. § 1.97(e)(1)].

Respectfully submitted,

HOGAN & HARTSON, L.L.P.

By: 

William H. Wright  
Registration No 36,312  
Attorney for Applicant(s)

Date: August 18, 2000

500 South Grand Avenue, Suite 1900  
Los Angeles, California 90071  
Telephone: 213-337-6700  
Facsimile: 213-337-6701

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<b>FORM PTO-1449</b>		<b>Docket Number (Optional)</b> 81924.0001		<b>Application Number</b> Not Assigned		
<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>		<b>Applicant</b> Peter A.J. van der Made				
<i>(Use several sheets if necessary)</i>		<b>Filing Date</b> Herewith		<b>Group Art Unit</b> Not Assigned		
<b>U.S. PATENT DOCUMENTS</b>						
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5,398,196	03-14-95	Chambers	364	580	
	5,675,711	10-07-97	Kephart, et al.	395	22	
	5,696,822	12-09-97	Nachenberg	380	4	
	5,864,803	01-26-99	Nussbaum	704	232	
	5,907,834	05-25-99	Kephart, et al.	706	20	
<b>FOREIGN PATENT DOCUMENTS</b>						
	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION (YES/NO)
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>						
<b>EXAMINER</b>		<b>DATE CONSIDERED</b>				
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